



**PATENT**

Attorney Docket No.: 393042

Express Mail Label No.: EL830768411US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Jingen Zhang, et al.  
Serial No. 09/851,072  
Filed: May 8, 2001  
For: Functional Fluid Compositions  
Containing Epoxide Acid Scavengers

Examiner: Not Assigned  
Group Art Unit: 1751

**SUBMISSION OF MISSING PARTS**

Assistant Commissioner for Patents  
BOX: MISSING PARTS  
Washington, D.C. 20231

Dear Sir:

In response to the Notice of Missing Parts dated July 5, 2001 (copy appended), enclosed herewith find the following:

1. Combined Declaration And Power of Attorney
2. Fee Calculation Sheet
3. Check for \$130.00

**CERTIFICATE UNDER 37 C.F.R. § 1.8 and § 1.10**

I hereby certify that, on the date shown below, this correspondence is being

- ☒ deposited with the United States Postal Service in an envelope addressed to Box: Missing Parts, Assistant Commissioner for Patents, Washington, D.C. 20231 with sufficient postage:

**MAILING**

☐ 37 C.F.R. § 1.8  
as first class mail.

☒ 37 C.F.R. § 1.10  
as "Express Mail Post Office to Addressee"  
EXPRESS MAIL NO. EL830768411US

**FACSIMILE TRANSMISSION**

☐ transmitted by facsimile to the Patent and Trademark Office.

Wendy Precht

Name of Depositor

  
Signature

September 5, 2001

Date

**PATENT**

Attorney Docket No.: 393042

Express Mail Label No.: EL830768411US

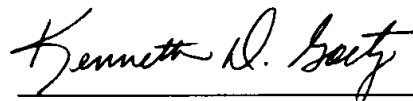
4. Information Disclosure Statement
5. Form 1449
6. 4 References
7. Certificate of Mailing Express Mail
8. Return Post Card

If any fee has been inadvertently overlooked, please charge deposit account number 12-0600.

The Examiner is encouraged to contact the undersigned if prosecution of the application may be expedited thereby.

Respectfully submitted:

LATHROP & GAGE LLC



---

Kenneth D. Goetz, Reg. No. 32,696  
2345 Grand Boulevard, Suite 2800  
Kansas City, MO 64108  
Tel No: 816/460-5849  
Fax No: 816/292-2001

09/06/01 - ~~SECRET~~ #3

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Jingen Zhang, et al.

Matter No.

393042

Serial No.

09/851,072

Filing Date

May 8, 2001

Examiner

Not Assigned

Group Art Unit

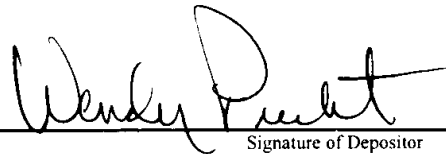
1751

Invention: Functional Fluid Compositions Containing Epoxide Acid Scavengers

I hereby certify that this: Submission of Missing Parts (2 pages); Copy of Notice to File Missing Parts of Nonprovisional Applications (1 page); Declaration and Power of Attorney (6 pages); Information Disclosure Statement (2 pages); Form 1449 (1 page); Copy of 4 References; Fee Transmittal for FY 2001 (1 page); Check for \$130.00; Certificate of Mailing By Express Mail; and this return post card are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Box: Missing Parts, The Assistant Commissioner for Patents, Washington, D.C. 20231 on this 5th day of September, 2001.

Wendy Precht

Name of Depositor

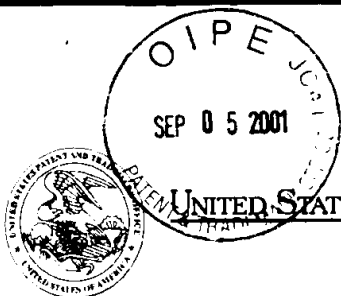


Signature of Depositor

EL830768411US

Express Mail Label No.

SEP 05 2001  
PATENT & TRADEMARK



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/851,072         | 05/08/2001          | Jingen Zhang          | 393042                 |

CONFIRMATION NO. 2831

## FORMALITIES LETTER



\*OC000000006261625\*

LATHROP & GAGE, LC  
Suite 2800  
2345 Grand Boulevard  
Kansas City, MO 64108

Date Mailed: 07/05/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

---

*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



**PATENT**

Attorney Docket No.:393042

Express Mail Label No.:EL830768411US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Jingen Zhang, et al.

Serial No.: 09/851,072

Group No.: 1751

Filed: May 8, 2001

Examiner: Not Assigned

For: Functional Fluid Compositions Containing  
Epoxide Acid Scavengers

Box: Missing Parts  
Assistant Commissioner of Patents  
Washington, D.C. 20231

Dear Sir:

**INFORMATION DISCLOSURE STATEMENT**  
**FILED UNDER 37 C.F.R. § 1.97(b)**

This information disclosure statement is being filed pursuant to 37 C.F.R. § 1.97(b) within three months of the filing or before the mailing date of a first Office Action. Enclosed is one sheet of FORM PTO-1449 (modified) together with copies of all prior art references cited thereon.

---

**CERTIFICATE UNDER 37 C.F.R. § 1.8 and § 1.10**

I hereby certify that, on the date shown below, this correspondence is being

- ☒ deposited with the United States Postal Service in an envelope addressed to Box: Missing Parts, Assistant Commissioner for Patents, Washington, D.C. 20231 with sufficient postage:

**MAILING**

- ☐ 37 C.F.R. § 1.8  
as first class mail.

**37 C.F.R. § 1.10**

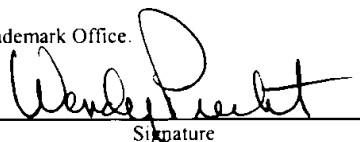
- ☒ as "Express Mail Post Office to Addressee"  
EXPRESS MAIL NO. EI.830768411US

**FACSIMILE TRANSMISSION**

- ☐ transmitted by facsimile to the Patent and Trademark Office.

Wendy Precht

Name of Depositor

  
Signature

September 5, 2001

Date

**PATENT**

Attorney Docket No.:393042

Express Mail Label No.:EL830768411US

Respectfully submitted,

By Kenneth D. Goetz

Kenneth D. Goetz, Reg. No.32,696

LATHROP & GAGE, L.C.

2345 Grand Boulevard, Suite 2800

Kansas City, Missouri 64108

(816) 460-5849 (phone)

(816) 292-2001 (fax)

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 130

## Complete if Known

Application Number 09/851,072

Filing Date May 8, 2001

First Named Inventor Jingen Zhang

Examiner Name Not Assigned

Group / Art Unit 1751

Attorney Docket No. 393042

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number

12-0600

Deposit  
Account  
Name

Lathrop &amp; Gage LC

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

| Large<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Small<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Fee Description        | Fee Paid |
|----------------------|-----------------------|----------------------|-----------------------|------------------------|----------|
| 101                  | 710                   | 201                  | 355                   | Utility filing fee     |          |
| 106                  | 320                   | 206                  | 160                   | Design filing fee      |          |
| 107                  | 490                   | 207                  | 245                   | Plant filing fee       |          |
| 108                  | 710                   | 208                  | 355                   | Reissue filing fee     |          |
| 114                  | 150                   | 214                  | 75                    | Provisional filing fee |          |

SUBTOTAL (1)

(\$ 0

## 2. EXTRA CLAIM FEES

| Total Claims          | Extra<br>Claims | Fee from<br>below | Fee<br>Paid |
|-----------------------|-----------------|-------------------|-------------|
| 20                    | = 0             | X                 | = 0         |
| Independent<br>Claims | -3 = 0          | X                 | = 0         |
| Multiple<br>Dependent |                 | X                 | = 0         |

| Large<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Small<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Fee Description  |
|----------------------|-----------------------|----------------------|-----------------------|--|
| 103                  | 18                    | 203                  | 9                     | Claims in excess of 20                                     |
| 102                  | 80                    | 202                  | 40                    | Independent claims in excess of 3                          |
| 104                  | 270                   | 204                  | 135                   | Multiple dependent claim, if not paid                      |
| 109                  | 80                    | 209                  | 40                    | ** Reissue independent claims over original patent         |
| 110                  | 18                    | 210                  | 9                     | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2)

(\$ 0

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

| Fee<br>Code | Large<br>Entity<br>Fee<br>(\$) | Fee<br>Code | Small<br>Entity<br>Fee<br>(\$) | Fee Description  | Fee<br>Paid |
|-------------|--------------------------------|-------------|--------------------------------|--|-------------|
| 105         | 130                            | 205         | 65                             | Surcharge - late filing fee or oath  | 130         |
| 127         | 50                             | 227         | 25                             | Surcharge - late provisional filing fee or cover sheet.                    |             |
| 139         | 130                            | 139         | 130                            | Non-English specification  |             |
| 147         | 2,520                          | 147         | 2,520                          | For filing a request for reexamination                                     |             |
| 112         | 920*                           | 112         | 920*                           | Requesting publication of SIR prior to Examiner action                     |             |
| 113         | 1,840*                         | 113         | 1,840*                         | Requesting publication of SIR after Examiner action                        |             |
| 115         | 110                            | 215         | 55                             | Extension for reply within first month                                     |             |
| 116         | 390                            | 216         | 195                            | Extension for reply within second month                                    |             |
| 117         | 890                            | 217         | 445                            | Extension for reply within third month                                     |             |
| 118         | 1,390                          | 218         | 695                            | Extension for reply within fourth month                                    |             |
| 128         | 1,890                          | 228         | 945                            | Extension for reply within fifth month                                     |             |
| 119         | 310                            | 219         | 155                            | Notice of Appeal   |             |
| 120         | 310                            | 220         | 155                            | Filing a brief in support of an appeal                                     |             |
| 121         | 270                            | 221         | 135                            | Request for oral hearing   |             |
| 138         | 1,510                          | 138         | 1,510                          | Petition to institute a public use proceeding                              |             |
| 140         | 110                            | 240         | 55                             | Petition to revive - unavoidable   |             |
| 141         | 1,240                          | 241         | 620                            | Petition to revive - unintentional   |             |
| 142         | 1,240                          | 242         | 620                            | Utility issue fee (or reissue)   |             |
| 143         | 440                            | 243         | 220                            | Design issue fee   |             |
| 144         | 600                            | 244         | 300                            | Plant issue fee  |             |
| 122         | 130                            | 122         | 130                            | Petitions to the Commissioner  |             |
| 123         | 130                            | 123         | 130                            | Petitions related to provisional applications                              |             |
| 126         | 180                            | 126         | 180                            | Submission of Information Disclosure Stmt                                  |             |
| 581         | 40                             | 581         | 40                             | Recording each patent assignment per property (times number of properties) |             |
| 146         | 710                            | 246         | 355                            | Filing a submission after final rejection (37 CFR § 1.129(a))              |             |
| 149         | 710                            | 249         | 355                            | For each additional invention to be examined (37 CFR § 1.129(b))           |             |
| 179         | 710                            | 279         | 355                            | Request for Continued Examination (RCE)                                    |             |
| 169         | 900                            | 169         | 900                            | Request for expedited examination of a design application                  |             |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$ 130

## SUBMITTED BY

## Complete (if applicable)

|                   |                         |                                  |        |           |                   |
|-------------------|-------------------------|----------------------------------|--------|-----------|-------------------|
| Name (Print/Type) | Kenneth D. Goetz        | Registration No. Attorney/Agent) | 32,696 | Telephone | (816) 460-5849    |
| Signature         | <i>Kenneth D. Goetz</i> |                                  |        | Date      | September 5, 2001 |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.